

Internal Control Assessment
Section 5: Monitoring

Agency:
 Bus Area:
 Fiscal Year:

	Question	Yes	No	NA	Comments
	Monitoring Questionnaire				
1	Are the internal controls being monitored and reviewed by management to determine if they are operating as intended?				
2	Does management solicit input from staff on opportunities to improve the effectiveness of controls?				
3	Does the agency evaluate the internal control system when there are major strategy changes?				
4	Has management established performance measures for processes?				
5	Does management receive periodic reports on performance measures for evaluation?				
6	Are internal control deficiencies reported to the person directly responsible for the activity and to a person one level higher?				
7	Does the department have a process to ensure that prior-year audit findings have been corrected?				
8	For a control deficiency, does the agency reassess and modify the control to prevent compliance problems?				
9	Does the agency notify the IT department within 24 hours that an employee has been terminated?				